



PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Docket No: CA1169

Michael John HODGSON

Appln. No.: 10/631,107

Group Art Unit: 3629

Confirmation No.: 7745

Filed: July 31, 2003

For: METHOD AND SYSTEM OF TRADING A STANDARDIZED CONTRACT

INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. §§ 1.97 and 1.98

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure under 37 C.F.R. § 1.56, Applicant hereby notifies the U.S. Patent and Trademark Office of the documents which are listed on the attached PTO/SB/08 A & B (modified) form and which the Examiner may deem material to patentability of the claims of the above-identified application.

One copy of each of the listed documents, other than any U.S. patents and patent publications, is submitted herewith.

The present Information Disclosure Statement is being filed: (1) No later than three months from the application's filing date; (2) Before the mailing date of the first Office Action on the merits (whichever is later); or (3) Before the mailing date of the first Office Action after filing a request for continued examination (RCE) under §1.114, and therefore, no Statement under 37 C.F.R. § 1.97(e) or fee under 37 C.F.R. § 1.17(p) is required.

PATENT APPLICATION

INFORMATION DISCLOSURE STATEMENT

U.S. Appln. No.: 10/631,107

The submission of the listed documents is not intended as an admission that any such document constitutes prior art against the claims of the present application. Applicant does not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application.

The USPTO is directed and authorized to charge all required fees, except for the Issue Fee and the Publication Fee, to Deposit Account No. 19-4880. Please also credit any overpayments to said Deposit Account. A duplicate copy of this paper is attached.

Respectfully submitted,



Frank L. Bernstein
Registration No. 31,484

SUGHRUE MION, PLLC
Telephone: (650) 325-5800
Facsimile: (650) 325-6606

MENLO PARK OFFICE

23493

CUSTOMER NUMBER


Date: October 31, 2003

Certificate of Mailing

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to:

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Date: October 31, 2003

Signed: 
Thea K. Wagner

Substitute for Form 1449 A & B/PTO

*Complete if Known***INFORMATION DISCLOSURE
STATEMENT BY APPLICANT***(use as many sheets as necessary)*

Sheet

1

of

1

Application Number	10/631,107
Confirmation Number	7745
Filing Date	July 31, 2003
First Named Inventor	Michael John HODGSON
Art Unit	3629
Examiner Name	
Attorney Docket Number	CA1169

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
		Number	Kind Code ² (if known)		
		US 6,304,858	B1	10-16-2001	Mosler et al.
		US			
		US			
		US			
		US			
		US			
		US			
		US			
		US			

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Translation ⁶
		Country Code ³	Number ⁴	Kind Code ⁵ (if known)			

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city, and/or country where published.	Translation ⁶
		The London Securities & Derivatives Exchange (OMLX) (1996); Contract terms of German Volatility Futures, Swedish Volatility Futures, and United Kingdom Volatility Futures, (VOLX futures)	
		International Financing Review (23 November 1996 – page 122); “On the VOLX wagon” ✓	
		Eurexchange Trading Conditions (Version 21 December 1998); Struckthrough Sub Subpart 2.1.4: “Specifications for Futures Contracts on the Implied Three Month at-the-money Volatility of Options on the German Stock Index (DAX) (VOLAX Futures)” (Accessible on http://www.eurexchange.com/tradconditions/history_upd21121998.html)	
		Deutsche-Börse Group; “Volatility Index VDAX® Short Info” ✓	

Examiner Signature

Date Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² See Kind Codes of USPTO Patent Documents at www.uspto.gov, MPEP 901.04 or in the comment box of this document. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST. 3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to indicate here if English language Translation is attached.